

FORM PTO-1449	SERIAL NO. 09/589,253	CASE NO. 3212/3
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT	FILING DATE June 7, 2000	GROUP ART UNIT 2761
(use several sheets if necessary)		APPLICANT(S): Kerimcan Engin & Robert C. Osborne

# REFERENCE DESIGNATION U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS/ SUBCLASS	FILING DATE
N.J.	A1	4,989,141	01/29/91	Lyons <i>et al.</i>	364/408	06/01/87
	A2	5,126,936	06/30/92	Champion <i>et al.</i>	364/408	09/01/89
	A3	5,132,899	07/21/92	Fox	364/408	10/16/89
	A4	5,220,500	06/15/93	Baird <i>et al.</i>	364/408	09/19/89
	A5	5,644,727	07/01/97	Atkins	395/240	12/06/94
	A6	5,692,233	11/25/97	Garman	705/36	02/03/95
	A7	5,710,887	01/20/98	Chelliah <i>et al.</i>	395/226	08/29/95
	A8	5,784,696	07/21/98	Melnikoff	705/36	06/06/95
	A9	5,812,987	09/22/98	Luskin <i>et al.</i>	705/36	03/13/95
	A10	5,864,828	01/26/99	Atkins	705/36	08/27/91
	A11	5,873,071	02/16/99	Ferstenberg <i>et al.</i>	705/37	05/15/97
	A12	5,875,437	02/23/99	Atkins	705/40	04/13/97
	A13	5,884,285	03/16/99	Atkins	705/36	01/16/92
	A14	5,884,287	03/16/99	Edesess	705/36	04/14/97
	A15	5,911,136	06/08/99	Atkins	705/36	03/26/97
	A16	5,920,848	07/06/99	Schutzer <i>et al.</i>	705/42	01/22/98
	A17	5,991,743	11/23/99	Irving <i>et al.</i>	705/36	06/30/97
N.J.	A18	6,021,397	02/01/00	Jones <i>et al.</i>	705/36	12/02/97

## FOREIGN PATENT DOCUMENTS

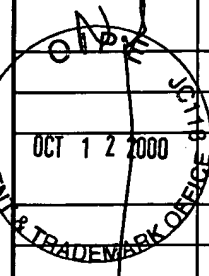
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS/ SUBCLASS	TRANSLATION YES NO
	A19					
	A20					
	A21					

EXAMINER INITIAL	OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)	
N.J.	A22	"A Few Brokerage Firms Experiment with No-Commission Stock Trading" by Carrie Lee, May 26, 2000, 4 pages, THE WALL STREET JOURNAL
	A23	"U.S. Household Ownership of Mutual Funds in 1999", September 1999, 4 pages, FUNDAMENTALS
	A24	"An E-Mall for High-End Investors", July 24, 2000, 2 pages, Businessweek Online: FRONTIER
N.J.	A25	"Where Have All the Geniuses Gone?", by David Whitford, October 11, 1999, 6 pages, FORTUNE ARCHIVES

EXAMINER <i>N. Subramana</i>	DATE CONSIDERED 10/21/02
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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EXAMINER INITIAL	OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)	
	A26	"Time to Sell Your Mutual Fund?", by Susan E. Kuhn, March 6, 1995, 12 pages, FORTUNE ARCHIVES
	A27	"A Nation of Traders", by Andy Serwer, 4 pages, FORTUNE
	A28	"Be a Tax-Savvy Investor", by Susan E. Kuhn, March 18, 1996, 5 pages, FORTUNE
	A29	"Mutual Fund Costs, 1980-1998", by John D. Rea, Brian K. Reid, and Travis Lee, September, 1999, 11 pages, PERSPECTIVE
	A30	"Many Happy Returns", by Erin Kelly, April 17, 2000, 2 pages, FORTUNE INVESTOR
	A31	"Mutual Funds Report; In Managed Personal Accounts, A Challenge to Traditional Funds", by Danny Hakim, July 9, 2000, 3 pages, NEW YORK TIMES
	A32	"No Magic Formula for Portfolio Diversification", by Kenneth S. Janke, Sr., April 1999, 3 pages, BETTER INVESTING
	A33	"Individual Stocks' Allure: Lower Taxes", by Jonathan Clements, June 13, 2000, 3 pages, THE WALL STREET JOURNAL
	A34	"No Free Lunch", by Jeff D. Opdyke, June 12, 2000, 4 pages, SAVIN
	A35	"Midlife Crisis", by Michael Santoli, April 10, 2000, 6 pages, BARRON'S
	A36	"All Trades, All the Time", by Michael Santoli, May 22, 2000, 4 pages, BARRON'S
	A37	"'Focused' Funds Choose to Buy Fewer Stocks and Risks Lessen", by Mara Der Hovanesian, December 20, 1999, 2 pages, SAVIN
	A38	"New Funds Remind Investors of Stocks", by Pui-Wing Tam, April 11, 2000, 2 pages, SAVIN
	A39	"Everybody's a Big Shot", by Richard Bierck, January 31, 1999, 3 pages, MONEY.COM
	A40	"Investors Have So Many Online Tools at Their Disposal - If They Know How To Use Them", by Andrew Fraser, June 12, 2000, 5 pages, THE WALL STREET JOURNAL
	A41	"Buggy-Whip Funds? Former Industry Insider Sees a New, New Thing Supplanting Mutuals", by Michael Santoli, June 26, 2000, 4 pages, BARRON'S
	A42	"Web Firms Offer Managed Accounts", by Christopher Oster, June 23, 2000, 4 pages, SAVIN
	A43	"Although the Mutual-Fund Party Is Hot, A Few Investors Start to Look Elsewhere", by Robert McGough, April 29, 1998, 5 pages, THE WALL STREET JOURNAL
	A44	"Online Funds, Build to Order", by Patrick McGeehan and Danny Hakim, August 13, 2000, 6 pages, THE NEW YORK TIMES
	A45	"What Stock to Pick? Try Your Own Fund", by Carrie Lee, July 18, 2000, 2 pages, THE WALL STREET JOURNAL
N.J.	A46	"To Follow Online Trading, Web Sites Turn to Advice", by Stacy Forster, August 15, 2000, 3 pages, THE WALL STREET JOURNAL

EXAMINER <i>N. Lubiana</i>	DATE CONSIDERED <i>10/21/02</i>
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